

2004

National Institute of Standards and Technology  
Technology Administration • Department of Commerce  
Baldrige National Quality Program

ethics

# Baldrige Award Application Forms



accomplishment

recognition



# The Malcolm Baldrige National Quality Award

The Award crystal, composed of two solid crystal prismatic forms, stands 14 inches tall. The crystal is held in a base of black anodized aluminum with the Award recipient's name engraved on the base. A 22-karat gold-plated medallion is captured in the front section of the crystal. The medal bears the inscriptions "Malcolm Baldrige National Quality Award" and "The Quest for Excellence" on one side and the Presidential Seal on the other.

The President of the United States traditionally presents the Awards at a special ceremony in Washington, DC. Awards are made annually to recognize U.S. organizations for performance excellence. The Award eligibility categories are

- manufacturing businesses
- service businesses
- small businesses
- education organizations
- health care organizations

Award recipients may publicize and advertise their Awards. Recipients are expected to share information about their successful performance strategies with other U.S. organizations.

## The Eligibility Self-Certification Process

In 2001, the process used to determine applicants' eligibility to participate in the Award process was changed to enable applicants to "self-certify." The role of the Malcolm Baldrige National Quality Program Office in the revised eligibility self-certification process is to assist with and offer advice on any questions or issues that applicants may have concerning the process itself or the completion of the required forms enclosed in this booklet. There are no changes to the eligibility requirements for the 2004 Award cycle. Once the completed Eligibility Certification Package is submitted, applicants may begin work on the Award application document. Notification of eligibility by the Program Office is no longer required.

The Program Office relies on the information contained in the self-certification process forms that are submitted. If at any time during the Award cycle the information is found to be inaccurate, the Program may deem the applicant ineligible for the Award. Should this occur, the applicant would be eligible for a feedback report only.



Crystal by Steuben

## Opportunity to Increase Organizational Learning Using the Baldrige Criteria

This year the Baldrige Program is providing eligibility applicants with a "hands-on" opportunity to increase their organizations' understanding and use of the Baldrige Criteria. We invite one senior member of each applicant organization to become a member of the 2004 Board of Examiners. The opportunity to learn and the required commitment of time are substantial. The time commitment is 110 hours minimum from April to December (including approximately 40 hours in April/May to complete prework for the Examiner preparation course, 4 days in May to attend the preparation course, and another 35–50 hours in June to complete a Stage 1: Independent Review). If requested by the Program, Examiners also are expected to participate in the Stage 2: Consensus Review (approximately 25 hours) and Stage 3: Site Visit Review (approximately 9 days). To take advantage of this opportunity, the Eligibility Certification Package must be postmarked on or before March 12, 2004. The Eligibility Certification Form and Additional Information Needed Form are available on pages 10–15 and 17–18, respectively, of this booklet or on-line at [www.baldrige.nist.gov/Award\\_Application](http://www.baldrige.nist.gov/Award_Application).



## Baldridge National Quality Program

National Institute of Standards and Technology • Technology Administration • Department of Commerce

January 2004

Congratulations!

By supplementing your copy of the *2004 Criteria for Performance Excellence* with a copy of the *2004 Baldridge Award Application Forms* booklet, you have taken the second step in using the Baldridge process to improve your organization's performance and growth. Now it is time to consider taking the next step—applying for the Award.

For a nominal application fee determined by the size and nature of your organization, your application will receive at least 300 hours of review by several experts selected for their depth and breadth of knowledge. Site-visited organizations receive more than 1,000 hours of in-depth review. Each applicant receives an extensive feedback report.

Because of the learning inherent in completing the application and in the feedback you will receive, the effort that goes into applying for the Award should result in a significant return on your investment. The process will help you prioritize opportunities for improvement and identify strengths to celebrate. As a result, the rate at which your organization improves should accelerate.

To further increase your organizational learning, we are offering a program that will provide a guaranteed slot for a senior employee of your organization to be a member of the 2004 Board of Examiners. If you are interested in taking advantage of this opportunity, you must submit your Eligibility Certification Form and the Additional Information Needed Form on or before March 12, 2004. You may use the forms in this booklet or the Microsoft Word versions of these forms, which are available on-line at [www.baldrige.nist.gov/Award\\_Application](http://www.baldrige.nist.gov/Award_Application).

Every Baldridge Award recipient's journey toward performance excellence includes using the application process as part of the organization's improvement and strategic planning process. Many of our recipients apply several times before receiving the Award, while others receive the Award on their first attempt. They *all* report that the process is worthwhile. The Baldridge process is designed to make each applicant a "winner" by raising its performance to a higher level. Consider making the decision to apply now and accelerate the rate of your organization's performance improvement. As thousands of organizations can attest, your organization will be better for it!

Sincerely yours,

Harry S. Hertz, Director  
Baldridge National Quality Program



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**The Malcolm Baldrige National Quality Award logo and the phrases “The Quest for Excellence” and “Performance Excellence” are trademarks and service marks of the National Institute of Standards and Technology.**



# The Malcolm Baldrige National Quality Award and Award Process

## What is the purpose of this booklet?

The purpose of this booklet is to provide instructions and forms for (1) certifying eligibility to participate in the Malcolm Baldrige National Quality Award process and (2) applying for the Award.

## What is the Malcolm Baldrige National Quality Award?

The Malcolm Baldrige National Quality Award, created by public law in 1987, is the highest level of national recognition for performance excellence that a U.S. organization can receive.

The major focus of the Award is on results, including customer satisfaction. It is *not* given for specific products or services. To be selected as an Award recipient, an organization must have a system that ensures continuous improvement in the delivery of products and/or services and provides a way of satisfying and responding to stakeholders.

Up to three Awards may be given annually in each of five eligibility categories: manufacturing businesses, service businesses, small businesses, education organizations, and health care organizations.

## Why was the Award established?

The Award was established to promote the awareness of performance excellence as an increasingly important element in competitiveness. Not only does it recognize excellent organizations, the Award also aims to increase the understanding of the requirements for performance excellence. To accomplish this, the Award promotes information sharing on successful performance strategies and the benefits derived from implementation of these strategies.

## Who may participate?

Organizations that may apply include privately and publicly owned for-profit businesses headquartered in the United States and its territories; for-profit and not-for-profit public, private, and government education organizations that provide education services to students in the United States and its territories; and for-profit and not-for-profit public, private, and government health care organizations that are located in the United States and its territories and are primarily engaged in providing medical, surgical, or other health care services directly to people. Subunits of organizations may apply if they meet certain requirements.

## Who is involved with the Award process?

**National Institute of Standards and Technology:** The Department of Commerce is responsible for the Baldrige National Quality Program and the Award. The National Institute of Standards and Technology (NIST), an agency of the Department's Technology Administration, manages the Baldrige Program.

**American Society for Quality:** Under contract to NIST, the American Society for Quality (ASQ) assists in administering the Award Program.

**Board of Examiners:** The Board of Examiners evaluates Award applications and prepares feedback reports for the applicants. The board consists of leading U.S. business, health care, and education experts.

**Panel of Judges:** This panel, which is part of the Board of Examiners, selects Award applicants to undergo site visits and recommends Award recipients. Judges are appointed by the Secretary of Commerce from all sectors of the U.S. economy.

**Board of Overseers:** This board is appointed by the Secretary of Commerce and is the advisory organization on the Baldrige National Quality Program to the Department of Commerce. The board consists of distinguished leaders from all sectors of the U.S. economy.

**The Foundation for the Malcolm Baldrige National Quality Award:** The Foundation raises funds to permanently endow the Award Program and manages the endowment.

## Some of the seven Baldrige Categories have different names in the Business, Education, and Health Care Criteria. How do the Education and Health Care Criteria Categories differ from the Business Categories?

There is a very close alignment among all three Criteria and their related Categories. Three of the Categories—Category 1: Leadership, Category 2: Strategic Planning, and Category 4: Measurement, Analysis, and Knowledge Management—have the same title in all three Criteria. The other four Categories have different titles that reflect differences in terminology among the three sectors. For example, in the Business Criteria, Category 3 is called “Customer and Market Focus.” That same Category is called “Student, Stakeholder, and Market Focus” in the Education Criteria and “Focus on Patients, Other Customers, and Markets” in the Health Care Criteria.



## What is the basis for the Criteria?

Criteria are developed from the state-of-the-art learning of private- and public-sector organizations that are working to achieve organizational performance excellence. The Criteria reflect validated, leading-edge practices for achieving performance excellence.

## How do applicants benefit from applying for the Award?

Each applicant gains an outside perspective on its organization based on 300 to 1,000 hours of review by members of the Board of Examiners. The results of this review are synthesized in a feedback report outlining strengths and opportunities for improvement based on the Criteria. Feedback reports are often used by organizations as part of their strategic planning process to focus on their customers and to improve results, as well as to help energize and guide their organizational improvement efforts.

## How are Award recipients selected?

Award applications are reviewed by a team from the Board of Examiners. The higher-scoring applicants receive site visits. The Panel of Judges recommends Award recipients from among the site-visited organizations. The Secretary of Commerce then makes the final selection of Award recipients.

## What does an organization receive if it is an Award recipient?

Each Award recipient receives a crystal trophy bearing a gold-plated medallion with the inscriptions “Malcolm Baldrige National Quality Award” and “The Quest for Excellence.” The President of the United States traditionally presents the Awards at a special ceremony in Washington, DC. Award recipients may publicize and advertise their Awards.

## Is the identity of applicants and the information submitted made available to the public?

The identity of all applicants remains confidential unless the applicant is selected as an Award recipient. Information submitted by applicants is also treated as confidential.

## What is expected of Award recipients?

Award recipients are required to share information about their exceptional performance practices with other U.S. organizations. However, recipients are not required to share proprietary information, even if such information was part of their Award application. The principal mechanisms for sharing information are the annual Quest for Excellence® Conference, highlighted on the inside back cover of this booklet, and several one-day regional conferences. Sharing

beyond The Quest for Excellence Conference is on a voluntary basis.

## How do organizations apply?

Applying for the Award is a two-step process. The first step is eligibility certification, when the organization certifies that it meets eligibility requirements. Instructions and forms for certifying eligibility begin on page 8.

Once eligibility has been certified, the second step consists of preparing and completing an Application Package, including an application form and an application report. The application report must summarize the organization's practices and results in response to the requirements delineated in the Items of the Criteria for Performance Excellence. Instructions and forms for applying for the Award begin on page 22.

If you plan to apply for the Award in 2004, you also will need the appropriate *2004 Criteria for Performance Excellence* (Business, Education, or Health Care) for your particular organization. Ordering information is given on page 30.

**Eligibility Certification Package  
with a nomination to the Board of Examiners  
due March 12, 2004**

**Eligibility Certification Package  
due April 13, 2004**

**Award Application Package—  
Submitted on CD  
due May 13, 2004**

**Award Application Package—  
Submitted on paper copies  
due May 27, 2004**



# 2004 Baldrige Award Program Processes and Time Frames

## Eligibility Certification

(Package postmarked to ASQ by **April 13, 2004**, OR **March 12, 2004**, for eligibility certification with a nomination to the Board of Examiners)

Prepare and submit the Eligibility Certification Package postmarked no later than **April 13, 2004** (**March 12, 2004**, for eligibility certification with a nomination to the Board of Examiners) to certify eligibility in one of five Award categories: manufacturing, service, small business, education, or health care. Remember to submit the nonrefundable eligibility certification filing fee with the Eligibility Certification Package. (See the box on page 4.)

*Note: In the event of multiple submissions from one parent organization, while all may be found eligible, the number of applicants for the Award will be determined by Rule VI.C., found on page 7.*

## Award Application

(Package postmarked to ASQ by **May 27, 2004**, for paper copies OR **May 13, 2004**, if submitting on a CD)

If submitting paper copies, prepare and submit 25 copies of the application report with the application fee(s) postmarked no later than **May 27, 2004**. If the application report is submitted on a CD, the package must be postmarked by **May 13, 2004**. The application fee, which must be included as part of the Award Application Package, covers expenses associated with the review of applications and the development of feedback reports. Fees are detailed on page 4. If an organization reaches the site visit review stage, the applicant is expected to submit updates for all results provided in the application. These updates will become part of the official application.

## Stage 1: Independent Review (June–August 2004)

The Application Package is reviewed independently by members of the Board of Examiners. At the conclusion of this review, the Panel of Judges determines which applicants advance to Stage 2: Consensus Review. At each stage, applicants receive every reasonable consideration to advance to the next stage.

## Stage 2: Consensus Review (August–September 2004)

The Application Package is reviewed jointly by a team of Examiners, led by a Senior Examiner. At the conclusion of this review, the Panel of Judges determines which applicants will receive site visits.

## Stage 3: Site Visit Review (October–November 2004)

A team of six to eight members of the Board of Examiners, led by a Senior Examiner, conducts on-site verification and clarification of the Application Package. Site visits consist primarily of a review of pertinent records and data and interviews with senior leaders and employees. No site visits are conducted outside of the United States or its territories. Following the site visit, the site visit team submits its report to the Panel of Judges.

If an organization is chosen for a site visit, the organization is responsible for paying a site visit fee, which helps cover expenses associated with the site visit. More information on site visit fees is given on page 4. Additionally, the organization is expected to provide updates for all results provided in the application. These updates will become part of the official application.

## Judges Review (November 2004)

The Panel of Judges conducts final reviews and recommends Award recipients to the Director of NIST, who conveys the recommendations to the Secretary of Commerce. The Secretary of Commerce makes the final determination of Award recipients.

**Role Model Determination:** The Secretary of Commerce and the Director of NIST are responsible for determining that recommended Award recipients are appropriate role models and, therefore, should be approved for the Malcolm Baldrige National Quality Award. The purpose of this determination is to help ensure that the Award's integrity is preserved.

In determining role models, NIST conducts record checks on site-visited applicants and the highest-ranking official to verify that they are in compliance with legal and regulatory requirements. The records checked include those of the Internal Revenue Service, the Federal Bureau of Investigation, the Bureau of Export Administration, the General Services Administration, the Equal Employment Opportunity Commission, the Occupational Health and Safety Administration, and local police and judicial offices in the jurisdiction of the applicant's headquarters. No new or independent investigations are conducted.

## Feedback Reports (September–December 2004)

Each applicant, including Award recipients, receives a feedback report. Feedback reports are prepared and distributed after it is determined either that the applicant will not move to the next stage of consideration for the Award or that the applicant is an Award recipient. Feedback reports are prepared by members of the Board of Examiners based on applicants' responses to the Criteria for Performance Excellence. The feedback reports contain applicant-specific descriptions of strengths and opportunities for improvement based on the Criteria for Performance Excellence.

## Award Ceremony (Winter 2005)

The President of the United States traditionally presents the Awards at a special ceremony in Washington, DC.

## Fees for the 2004 Award Cycle

**Eligibility Certification Fee:** For the 2004 Award cycle, a nonrefundable fee of \$150 must be submitted to ASQ along with the Eligibility Certification Package postmarked **no later than April 13, 2004** (March 12, 2004, for eligibility certification with a nomination to the Board of Examiners).

**Application Fee:** The chart below shows the application fees for 2004. For the 2004 Award cycle, the appropriate fee(s) must be submitted to ASQ with the Award Application Package postmarked **no later than May 27, 2004**, for paper copies (May 13, 2004, if submitting on CD).

| AWARD CATEGORY                                  | ELIGIBILITY FEE | APPLICATION FEE* | SUPPLEMENTAL SECTION FEE (IF APPLICABLE)** | SITE VISIT FEE USUAL RANGE (IF APPLICABLE)*** |
|---|-----------------|------------------|--|---|
| MANUFACTURING                                   | \$150           | \$5,000*         | \$2,000                                    | \$20,000–\$35,000                             |
| SERVICE   | \$150           | \$5,000*         | \$2,000                                    | \$20,000–\$35,000                             |
| SMALL BUSINESS                                  | \$150           | \$2,000*         | \$1,000                                    | \$10,000–\$17,000                             |
| EDUCATION NOT-FOR-PROFIT                        | \$150           | \$500*           | \$250                                      | \$1,500                                       |
| EDUCATION FOR-PROFIT >500 FACULTY/STAFF         | \$150           | \$5,000*         | \$2,000                                    | \$20,000–\$35,000                             |
| EDUCATION FOR-PROFIT 500 OR FEWER FACULTY/STAFF | \$150           | \$2,000*         | \$1,000                                    | \$10,000–\$17,500                             |
| HEALTH CARE >500 STAFF                          | \$150           | \$5,000*         | \$2,000                                    | \$20,000–\$35,000                             |
| HEALTH CARE 500 OR FEWER STAFF                  | \$150           | \$2,000*         | \$1,000                                    | \$10,000–\$17,500                             |

\*An additional processing fee of \$1,250 is required for applications submitted on CD.

\*\*Supplemental sections are **not** applicable for applicants with (a) a single performance system that supports all of their product and/or service lines and (b) products or services that are essentially similar in terms of customers/users, technology, types of employees, and planning. For a description of a supplemental section, see page 22.

### \*\*\*Site Visit Review Fee

This fee is paid only by applicants receiving site visits. The fee is set when visits are scheduled and is dependent on a number of factors, including the number of sites to be visited, the number of Examiners assigned, and the duration of the visit.

Site visit fees for applicants with more than 500 employees in the manufacturing, service, for-profit education, and health care sectors usually range between \$20,000 and \$35,000. However, the site visit fee for small businesses, for-profit education organizations with 500 or fewer faculty/staff, and health care organizations with 500 or fewer staff is approximately one-half that rate. In 2004, the site visit fee for not-for-profit education organizations is \$1,500. All site visit fees are due to ASQ two weeks after completion of the site visit.

# 2004 Eligibility Certification Overview

## I. Purpose

The purpose of this section is to provide applicants with information on the eligibility certification process, which is the first step in applying for the Malcolm Baldrige National Quality Award. This information describes the eligibility categories and eligibility restrictions and then provides step-by-step instructions on how to complete the Eligibility Certification Form, the Additional Information Needed Form, and other portions of the Eligibility Certification Package.

## II. Objective

The objective of the Eligibility Certification Package is to provide sufficient information to certify whether the organization is eligible to apply for the Award. In addition, the package presents a useful profile of the organization and often is the first information about the applicant read by Examiners. The information also is used by the Baldrige Office to avoid conflicts of interest when assigning applications to Examiners.

## III. Submission Requirements

### A. Eligibility Certification Package

The Eligibility Certification Package consists of the following materials. All information provided is considered confidential.

1. A completed **Eligibility Certification Form** must be signed by the highest-ranking official of the organization.
2. **An organization chart(s) and other required documents** described in the Eligibility Certification Form—Instructions must be included.
3. A completed **Additional Information Needed Form** must accompany the Eligibility Certification Form.
4. **Fee**—A check or money order made payable to the **Malcolm Baldrige National Quality Award** (or credit card information) for the \$150 nonrefundable fee must be attached to the Eligibility Certification Package.

### B. Submission

Potential applicants for the 2004 Award are encouraged to submit the Eligibility Certification Package to ASQ as early as possible. **The package must be postmarked no later than April 13, 2004 (March 12, 2004, for eligibility certification with a nomination to the Board of Examiners).** See page 20 for ASQ's address.

## IV. Eligibility Certification

The Eligibility Certification Package will be reviewed promptly. If clarification is required, the designated Eligibility Contact Point or alternate will be contacted.

## V. Eligibility Categories

Public Law 100-107 established the three business eligibility categories of the Award: manufacturing, service, and small business. On October 30, 1998, President William J. Clinton signed legislation expanding the eligibility categories to include education and health care organizations. Eligibility for the Award is intended to be as open as possible.

### A. Business

Any for-profit business headquartered in the United States or its territories, including U.S. subunits of foreign companies, may apply for the Award. For-profit businesses include domestic or foreign-owned companies, joint ventures, corporations, sole proprietorships, partnerships, and holding companies—publicly or privately owned.

*Note: Local, state, and federal government agencies; not-for-profit organizations; trade associations; and professional societies are not eligible for the business categories.*

The three business categories are defined as follows:

#### 1. Manufacturing

- Organizations and some subunits (see VI. Restrictions on Eligibility, Part B on pages 6–7) that produce and sell manufactured products or manufacturing processes.
- Companies that produce agricultural, mining, or construction products. (See North American Industry Classification System [NAICS] codes on page 21.)

#### 2. Service

- Organizations and some subunits that provide or sell services.

*Note: Where an applicant is both a manufacturer and a service provider, the appropriate eligibility category is the activity that provides the larger percentage of sales.*

#### 3. Small Business

- Organizations with 500 or fewer employees that are engaged in manufacturing and/or the provision of services.

## B. Education

Participation is open to for-profit and not-for-profit public, private, and government organizations and some subunits—including U.S. subunits of foreign organizations—that provide education (teaching and instructional) services to students in the United States or its territories. Eligibility is intended to be as open as possible. For example, eligible organizations include elementary and secondary schools and school districts; colleges, universities, and university systems; schools or colleges within universities; professional schools; community colleges; and technical schools.

Departments within schools or colleges are ineligible.

*Note: For-profit education organizations may choose to apply under the service or small business category, as appropriate, using the Business Criteria, or under the education category, using the Education Criteria.*

## C. Health Care

Participation is open to for-profit and not-for-profit public, private, and government organizations and some subunits—including U.S. subunits of foreign organizations—located in the United States or its territories. These organizations must be engaged primarily in providing medical, surgical, or other health care services directly to people. Eligibility is intended to be as open as possible. For example, eligible organizations include hospitals, health maintenance organizations, long-term care facilities, health care practitioners' offices, home health agencies, and dialysis and ambulatory surgery centers.

Organizations that do not directly provide health services to people, such as social service agencies, health insurance companies, or medical/dental laboratories, are ineligible under this category. However, such organizations—if they are for-profit—might be eligible under the service or small business categories.

*Note: For-profit health care organizations may choose to apply under the service or small business category, as appropriate, using the Business Criteria, or under the health care category, using the Health Care Criteria.*

*When an applicant is both an education organization and a provider of health care services to people, the appropriate eligibility category is the activity that represents the larger percentage of its budget.*

## VI. Restrictions on Eligibility

The following restrictions and conditions ensure fairness and consistency.

### A. Conditions

1. The applicant must have been in existence prior to April 13, 2003.
2. All subordinate elements of the applicant's organization must be included in the application.
3. An applicant is eligible only if the operational practices associated with all of its major organizational functions are examinable in the United States or its territories. If an applicant has some activities performed outside its immediate organization (e.g., by overseas components, a parent organization, or other subunits), it must ensure that
  - in the event of a site visit, the appropriate personnel and materials will be available for examination in the United States to document operational practices in all major organizational functions; and
  - in the event the applicant receives the Award, the applicant will be able to share information on the seven Criteria Categories at The Quest for Excellence Conference and at its U.S. facilities. Sharing beyond The Quest for Excellence Conference is on a voluntary basis.

### B. Subunits

For purposes of the 2004 Award Application, a subunit means a unit or division of a larger organization. The larger organization that owns or has organizational or financial control of a subunit will be referred to as the "parent." A parent is the highest level of an organization that would be eligible to apply for the Award. The following requirements pertain to subunits:

1. A subunit must be self-sufficient enough to be examined in all seven Criteria Categories.
2. A subunit must have a clear definition of "organization" as reflected in organization literature, such as organization charts, administrative manuals, and annual reports; be recognizable as a discrete entity; and be easily distinguishable from the parent or other subunits of the parent.
3. The subunit must function as a business or operational entity, not as a collection of activities aggregated for the purposes of writing an Award application.
4. Subunits that perform only support functions are ineligible.



Examples of business support functions are sales, marketing, distribution, finance and accounting, human resources, environmental services, health and safety of employees, purchasing, legal services, and research and development.

Examples of education support functions are academic resource and development centers, student advising units, counseling units, food services, health services, housing, libraries, safety, information technology resources, environmental services, finance and accounting, human resources, public relations, and purchasing.

Examples of health care support functions are housekeeping, radiology, member services, finance and accounting, billing, human resources, purchasing, legal services, and research and development.

5. **Manufacturing and service subunits of parents with >500 employees.** A subunit is eligible only if 50 percent or more of its products or services are sold or provided directly to customers/users outside the applicant's organization, its parent organization, and other organizations that own or have financial or organizational control of the applicant or parent.

6. **Manufacturing and service subunits of parents with >500 employees.** In addition to the requirements in VI.B.5, above, a subunit must satisfy at least one of the following conditions:

- It must have more than 500 employees, OR
- It must have at least 25 percent of all employees in the worldwide operations of the parent, OR
- It must meet the requirements listed in VI.B.7, below.

7. **All business subunits regardless of parent size.** If the subunit applicant does not have more than 500 employees or at least 25 percent of all employees in the worldwide operations of the parent (with more than 500 employees), the applicant subunit must have been independent prior to being acquired by the parent and continue to operate independently under its own identity. (Business subunits meeting only this requirement are eligible in the small business category if they have 500 or fewer employees.)

### C. Multiple-Application Restrictions

1. A subunit and its parent may not apply for Awards in the same year.
2. All subunits may submit Eligibility Certification Packages. In some cases, more than one subunit

of a parent may apply for the Award. If the parent organization, including all of its subunits, has

- 0–1,000 employees, one applicant per parent per category may submit an Award Application Package;
  - 1,001–20,000 employees, two applicants per parent per category may submit an Award Application Package; or
  - more than 20,000 employees, two applicants per parent per category for the first 20,000, plus one per 20,000 or fraction thereof above 20,000 per parent per category, may submit an Award Application Package.
3. In the event of multiple submissions for the Award from subunits of the same parent beyond the limits noted in VI.C.2 above, the parent organization will be given the option of deciding which subunit(s) will represent it in the Award process. Alternatively, if the parent organization does not choose representative subunits, the applications with the earliest postmarks will be designated the applicants for the Award.

### D. Restrictions on Award Recipients

If an organization or a subunit that has more than 50 percent of the total employees of the parent receives an Award, the organization and all its subunits are ineligible to apply for another Award for a period of five years. If a subunit receives an Award, that subunit and all its subunits are ineligible to apply for another Award for a period of five years. After five years, Award recipients are eligible to reapply for the Award or to reapply for feedback only.

## VII. Other Requirements

### A. Site Visit Requirements

If some activities are performed outside the applicant's organization (e.g., by an overseas component of the applicant, the parent organization, or its other subunits), the applicant, if selected for a site visit, must make available in the United States sufficient personnel, documentation, and facilities to allow a full examination of its operational practices for all major functions of its worldwide operations.

### B. Requirement for Award Recipients to Share Information

In the event that the applicant receives the Award, the applicant must be able to share nonproprietary information on the seven Criteria Categories at The Quest for Excellence Conference and at its U.S. facilities. Sharing beyond The Quest for Excellence Conference is on a voluntary basis.

# 2004 Eligibility Certification Form—Instructions

## 1. Applicant

Provide the applicant's official name, which will be used to make the role model determination. (See pages 3–4.) Also, provide any other names by which the applicant may be known publicly and its previous name if there has been a name change within the last five years. Provide the address of the applicant's headquarters.

## 2. Highest-Ranking Official

Provide the necessary contact information requested for the applicant's highest-ranking official.

## 3. Eligibility Contact Point

After the receipt of the 2004 Eligibility Certification Form and associated materials, it may be necessary to contact the applicant for additional information. Please designate a person who is knowledgeable about the organization and its structure and who will be available to answer inquiries during the month following submission of the Eligibility Certification Form.

## 4. Alternate Eligibility Contact Point

In the event that the Eligibility Contact Point is not available, an Alternate Eligibility Contact Point will be needed to answer questions or convey a message to the Eligibility Contact Point. Designate a person who is available during the month following submission of the Eligibility Certification Form.

## 5. Applicant Status

Indicate whether or not the applicant has existed for at least one year, or prior to April 13, 2003.

## 6. Award Category and For-Profit/Not-For-Profit Designation

Based on the information given on pages 5–6 of this booklet, indicate which of the five Award categories is appropriate and which of the three Criteria (Business, Education, or Health Care) will be used to prepare the application. Also indicate whether the applicant is a for-profit or not-for-profit organization.

## 7. Industrial Classification

Using the three- or four-digit NAICS codes listed on page 21, provide up to three codes that best describe the applicant's products and/or services.

## 8. Size and Location of Applicant

- Provide the total number of employees as of April 13, 2004.
- Check the appropriate financial descriptor (sales, revenues, or budgets) and the appropriate range for the preceding fiscal year.
- Indicate the number of applicant sites. Offices or other work areas located near each other need not be counted as separate sites if they are considered one location for business and personnel purposes.
- State the approximate percentage (to the nearest whole number) of the applicant's employees who are located in the United States or its territories.
- State the approximate percentage (to the nearest whole number) of the applicant's physical assets located in the United States or its territories.
- Check the appropriate response.
- Check the appropriate response.
- Attach a line and box organization chart for the applicant. In each box, include the name of the unit/division and its head.

## 9. Subunits

If the applicant is a subunit of a larger organization, responses to 9a through 9k are required; otherwise, go to question 10.

- Check all that apply.
- Provide the name and address of the parent and the name and title of the highest-ranking official of the highest ownership level of the parent organization. Provide the number of worldwide employees of the parent, including all subunits. Do not include joint ventures.
- Check the appropriate response. If two or more subunits from the parent are planning to apply for the Award, provide a brief explanation.
- Briefly describe the major functions provided to the applicant by the parent or by other subunits of the parent.
- Check the appropriate response to indicate the applicant's ability to respond to all seven Baldrige Criteria Categories.

## 9. Subunits—continued

- f. Provide the name and date of the official document (and a copy of relevant portions) showing clear definition of the applicant as a discrete entity.
- g. Briefly describe the applying unit's organizational structure and management links to the parent.

*Attach a line and box organization chart(s) showing the relationship of the applicant to the highest management level of the parent, including all intervening levels. In each box, include the name of the unit/division and its head.*

- h. Check the appropriate responses. If neither of the boxes is checked "Yes," (1) provide a brief description of how the market and product(s) or service(s) are similar; (2) indicate the organizational relationships of all units that provide similar or identical products or services, including the approximate sales, revenues, or budgets for each; and (3) describe how the applicant is different from its parent and the other subunits of the organization (e.g., market, location, name).
- i. **Manufacturing and service subunits of parents with >500 employees:** Check the appropriate box.
- j. **Manufacturing and service subunits of parents with >500 employees:** Check the appropriate box for each question.
- k. **All business subunits, regardless of parent size:** Check the appropriate box.

*Note: If self-certification is based on the subunit being independent prior to being acquired and continuing to operate independently under its own identity, provide a copy of an official document to support this response.*

*Note: If all answers to "j" and "k" are "No," contact the Baldrige Program Office at (800) 898-4506.*

## 10. Supplemental Sections

Check the appropriate response. If the second option is selected, the Eligibility Contact Point will be contacted. Applicants may have two or more diverse product and/or service lines (i.e., in different NAICS codes) with customers, types of employees, technology, planning, and quality systems that are so different that the application report alone does not allow sufficient

detail for a fair examination. Such applicants may submit one or more supplemental sections (see page 22) in addition to the application report. The use of supplemental sections must be approved during the eligibility certification process and is mandatory once approved.

## 11. Application Format

Indicate if your organization intends to submit (1) 25 paper copies of your application (due date May 27, 2004) or (2) a CD (due date May 13, 2004).

## 12. Self-Certification Statement, Signature of the Highest-Ranking Official

Provide the signature of the applicant's highest-ranking official. This signature acknowledges that the answers provided are accurate and also certifies that the applicant is eligible based on the requirements for the 2004 Malcolm Baldrige National Quality Award.

- a. If the applicant answers any questions "No," the applicant should call the Program Office before submitting the Eligibility Certification Package.
- b. If the applicant's organization is selected for a site visit and an Examiner discovers that one or more of the responses in the application are inaccurate, the applicant will no longer be eligible for the Award. The applicant will be eligible for feedback on its organization, however.

## 13. Eligibility Certification Filing Fee

Enclose a \$150 nonrefundable fee to cover the cost of the eligibility certification filing process. Make the check or money order payable to

**Malcolm Baldrige National Quality Award.**

You also may pay by VISA, MasterCard, or American Express.

## 14. Nomination to the Board of Examiners

Provide the requested information if your Eligibility Certification Package is postmarked on or before March 12, 2004, and you wish to nominate a senior member of your organization to the Board of Examiners.



**Malcolm Baldrige National Quality Award****I. Applicant**

Official Name \_\_\_\_\_

Headquarters Address \_\_\_\_\_

Other Name \_\_\_\_\_

Prior Name \_\_\_\_\_

**2. Highest-Ranking Official**☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Name \_\_\_\_\_

Address \_\_\_\_\_

Title \_\_\_\_\_

Telephone No. \_\_\_\_\_

E-mail \_\_\_\_\_

Fax No. \_\_\_\_\_

**3. Eligibility Contact Point**☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Name \_\_\_\_\_

Address \_\_\_\_\_

Title \_\_\_\_\_

Telephone No. \_\_\_\_\_

Overnight Mailing Address (Do not use a P.O. Box number.) \_\_\_\_\_

Fax No. \_\_\_\_\_

E-mail \_\_\_\_\_

**4. Alternate Eligibility Contact Point**☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Name \_\_\_\_\_

Telephone No. \_\_\_\_\_

Fax No. \_\_\_\_\_

**5. Applicant Status** *(Check one.)*

Has the applicant officially or legally existed for at least one year, or prior to April 13, 2003?

☐ Yes ☐ No**OMB Clearance #0693-0006—Expiration Date: January 31, 2007***This form may be copied and attached to, or bound with, other application materials.*

If you are unable to answer any question or answer any question "No,"  
please contact the Baldrige Program Office at (800) 898-4506 before submitting your form.

**Malcolm Baldrige National Quality Award****6. Award Category and For-Profit/Not-For-Profit Designation** *(Check as appropriate.)*

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> Manufacturing (For-Profit Only)  | <input type="checkbox"/> Education      | <input type="checkbox"/> Health Care    |
| <input type="checkbox"/> Service (For-Profit Only)        | <input type="checkbox"/> For-Profit     | <input type="checkbox"/> For-Profit     |
| <input type="checkbox"/> Small Business (For-Profit Only) | <input type="checkbox"/> Not-For-Profit | <input type="checkbox"/> Not-For-Profit |

**Criteria being used:** *(Check one.)*

- |                                   |                                    |                                      |
|-----------------------------------|------------------------------------|--------------------------------------|
| <input type="checkbox"/> Business | <input type="checkbox"/> Education | <input type="checkbox"/> Health Care |
|-----------------------------------|------------------------------------|--------------------------------------|

*(For-profit education and health care organizations may choose to use the Business Criteria and apply in the service or small business categories.)*

**7. Industrial Classification**

List up to three of the most descriptive three- or four-digit NAICS codes. *(See page 21 of this booklet or the PDF version of the Baldrige Award Application Forms at [www.baldrige.nist.gov/Award\\_Application.htm](http://www.baldrige.nist.gov/Award_Application.htm).)*

a. \_\_\_\_\_ b. \_\_\_\_\_ c. \_\_\_\_\_

**8. Size and Location of Applicant**

- a. Total number of
- employees (business) \_\_\_\_\_
  - faculty/staff (education) \_\_\_\_\_
  - staff (health care) \_\_\_\_\_
- b. For the preceding fiscal year,
- check one financial descriptor: ☐ Sales ☐ Revenues ☐ Budgets
  - check amount: ☐ 0-\$1M ☐ \$1M-\$10M ☐ \$10M-\$100M ☐ \$100M-\$500M ☐ \$500M-\$1B ☐ More than \$1B
- c. Number of sites: U.S./Territories \_\_\_\_\_ Overseas \_\_\_\_\_
- d. Percentage of employees: U.S./Territories \_\_\_\_\_ Overseas \_\_\_\_\_
- e. Percentage of physical assets: U.S./Territories \_\_\_\_\_ Overseas \_\_\_\_\_
- f. If some activities are performed outside the applicant's organization (e.g., by an overseas component of the applicant, the parent organization, or its other subunits), will the applicant, if selected for a site visit, make available in the United States sufficient personnel, documentation, and facilities to allow full examination of its operational practices for all major functions of its worldwide operations?
- ☐ Yes ☐ No ☐ Not Applicable
- g. In the event the applicant receives an Award, can the applicant make available sufficient personnel and documentation to share its practices at The Quest for Excellence Conference and at its U.S. facilities?
- ☐ Yes ☐ No ☐ Not Applicable
- h. Attach a line and box organization chart for the applicant. In each box, include the name of the unit/division and its head.

**If you are unable to answer any question or answer any question "No,"  
please contact the Baldrige Program Office at (800) 898-4506 before submitting your form.**

**Malcolm Baldrige National Quality Award****9. Subunits** *(If the applicant is not a subunit as defined on pages 6–7, please proceed to question 10.)*a. Is the applicant \_\_\_\_\_ a larger parent or system? *(Check all that apply.)*

- ☐ a subsidiary of      ☐ a unit of      ☐ a school of  
☐ a division of      ☐ a like organization of      ☐ owned by  
☐ controlled by      ☐ administered by

b. Parent Organization

Name \_\_\_\_\_

Highest-Ranking Official

Address \_\_\_\_\_

Name \_\_\_\_\_

\_\_\_\_\_

Title \_\_\_\_\_

Number of worldwide employees of the parent \_\_\_\_\_

c. Is the applicant the only subunit of the parent organization intending to apply? *(Check one.)*

- ☐ Yes      ☐ No *(Briefly explain.)*      ☐ Do Not Know

d. Briefly describe the major functions provided to the applicant by the parent or by other subunits of the parent. Examples of such functions include but are not limited to strategic planning, business acquisition, research and development, data gathering and analysis, human resources, legal services, finance or accounting, sales/marketing, supply chain management, global expansion, information and knowledge management, education/training programs, information systems and technology services, curriculum and instruction, and academic program coordination/development.

e. Is the applicant self-sufficient enough to respond to all seven Baldrige Criteria Categories?

- ☐ Yes      ☐ No *(Briefly explain.)*

f. Provide the name and date of the official document (e.g., annual report, organization literature, press release) supporting the subunit designation. Attach relevant portions of the document showing clear definition of the applicant as a discrete entity.

Name of the Document \_\_\_\_\_

Date \_\_\_\_\_

g. Briefly describe the organizational structure and relationship to the parent.

Attach a line and box organization chart(s) showing the relationship of the applicant to the highest management level of the parent, including all intervening levels. In each box, include the name of the unit/division and its head.

**If you are unable to answer any question or answer any question “No,”  
please contact the Baldrige Program Office at (800) 898-4506 before submitting your form.**

**Malcolm Baldrige National Quality Award****9. Subunits—continued**

h. Is the applicant's product or service unique within the parent organization? *(Check one.)*

☐ Yes ☐ No

If "No," do other units within the parent provide the same products or services to a different customer base? *(Check one.)*

☐ Yes ☐ No

If neither of the boxes in "h" is checked "Yes," complete 1, 2, and 3 below.

(1) Provide a brief description of how the market and product(s) or service(s) are similar.

(2) Indicate the organizational relationships of all units that provide similar or identical products or services, including the approximate sales, revenues, or budgets for each.

(3) Describe how the applicant is different from its parent and the other subunits of the organization (e.g., market, location, name).

i. **Manufacturing and service subunits of parents with >500 employees, only.** Are more than 50 percent of the applicant's products or services sold or provided directly to customers outside the applicant's organization, the parent organization, and organizations controlled by the applicant or the parent?

☐ Yes ☐ No

j. **Manufacturing and service subunits of parents with >500 employees, only.**

• Does the applicant have more than 500 employees? *(Check the appropriate box.)*

☐ Yes ☐ No

• Do the applicant's employees make up more than 25 percent of the worldwide employees of the parent? *(Check the appropriate box.)*

☐ Yes ☐ No

k. **All business subunits, regardless of parent size.** Was the applicant independent prior to being acquired, and does it continue to operate independently under its own identity?

☐ Yes ☐ No

*Note: If self-certification is based on the subunit being independent prior to being acquired and continuing to operate independently under its own identity, provide a copy of an official document to support this response.*

*Note: If all answers to "j" and "k" are "No," contact the Baldrige Program Office at (800) 898-4506.*

**If you are unable to answer any question or answer any question "No,"  
please contact the Baldrige Program Office at (800) 898-4506 before submitting your form.**

**Malcolm Baldrige National Quality Award****10. Supplemental Sections** *(Check one.)*

- ☐ The applicant has (a) a single performance system that supports all of its product and/or service lines and (b) products or services that are essentially similar in terms of customers/users, technology, types of employees, and planning.
- ☐ The applicant has (a) multiple performance systems that support all of its product and/or service lines and (b) products or services that are essentially similar in terms of customers/users, technology, types of employees, and planning.

*If you checked this box, please describe briefly the differences among the multiple performance systems of your organization in terms of customers, types of employees, technology, planning, and quality systems.*

*Note: The applicant's Eligibility Contact Point will be contacted if the second option is checked. Applicants may have two or more diverse product and/or service lines (i.e., in different NAICS codes) with customers, types of employees, technology, planning, and quality systems that are so different that the application report alone does not allow sufficient detail for a fair examination. Such applicants may submit one or more supplemental sections in addition to the application report. The use of supplemental sections must be approved during the eligibility certification process and is mandatory once approved.*

**11. Application Format**

If your organization applies for the 2004 Award, in which format would you submit the Application Package? *(Check one.)*

- ☐ 25 paper copies (due date May 27, 2004) ☐ CD (due date May 13, 2004)

**12. Self-Certification Statement, Signature of the Highest-Ranking Official**

I state and attest that

- (1) I have reviewed the information provided by my organization in this Eligibility Certification Package.
- (2) To the best of my knowledge,
  - no untrue statement of a material fact is contained in this Eligibility Certification Package, and
  - no omission of a material fact has been made in this package.
- (3) Based on the information herein and the current eligibility requirements for the Malcolm Baldrige National Quality Award, my organization is eligible to apply.
- (4) I understand that at any time during the 2004 Award Process cycle, if the information is found not to support eligibility, my organization will no longer receive consideration for the Award and will receive only a feedback report.

---

Date

---

Signature of Highest-Ranking Official

---

Printed Name

**If you are unable to answer any question or answer any question "No,"  
please contact the Baldrige Program Office at (800) 898-4506 before submitting your form.**

**Malcolm Baldrige National Quality Award****13. Eligibility Certification Filing Fee**

Enclose a \$150 nonrefundable fee to cover the cost of the eligibility certification filing process. Make the check or money order payable to

**Malcolm Baldrige National Quality Award.**

You also may pay by VISA, MasterCard, or American Express. Please indicate the method of payment below:

☐ Check or money order (enclosed)

☐ VISA      ☐ MasterCard      ☐ American Express

Card Number \_\_\_\_\_

Signature \_\_\_\_\_

Expiration Date \_\_\_\_\_

Today's Date \_\_\_\_\_

**14. Nomination to the Board of Examiners**

One senior member from each organization whose Eligibility Certification Package is **postmarked on or before March 12, 2004**, may become a member of the 2004 Board of Examiners. The opportunity to learn and the required commitment of time are substantial. The time commitment is a minimum of 110 hours between April and December (including approximately 40 hours in April/May to complete prework for the Examiner preparation course, 4 days in May to attend the Examiner preparation course, and another 35–50 hours in June to complete a Stage 1: Independent Review). If requested by the Program, Examiners also are expected to participate in the Stage 2: Consensus Review (approximately 25 hours) and Stage 3: Site Visit Review (approximately 9 days).

Nominees must be citizens or permanent residents of the United States and be located in the United States or its territories.

☐ \_\_\_\_\_ from our organization will serve on the 2004 Board of Examiners.  
Name of Senior Member Nominee\*

\*Please, no substitutions after April 13, 2004.

Nominee's contact information:

☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Title \_\_\_\_\_

Applicant Name \_\_\_\_\_

Home Address \_\_\_\_\_

Work Address \_\_\_\_\_

\_\_\_\_\_

Home Phone \_\_\_\_\_

Work Phone \_\_\_\_\_

Home Fax \_\_\_\_\_

Work Fax \_\_\_\_\_

E-mail Address \_\_\_\_\_

**If you are unable to answer any question or answer any question "No,"  
please contact the Baldrige Program Office at (800) 898-4506 before submitting your form.**

## 2004 Additional Information Needed Form—Instructions

### 1. Site Listing and Descriptors

Provide the complete address of each site. In cases where many sites perform the same function, aggregate the sites under one listing and make a summary statement about the locations instead of listing an address for each one. If a site visit is conducted, a more detailed listing will be requested when the visit is planned. If the applicant has foreign sites, these sites must be included. Duplicate the Site Listing and Descriptors page if all sites cannot be listed on a single page. The application report must address activities in foreign sites in the appropriate Items. No site visits will be conducted at facilities outside the United States or its territories.

Provide the ***number*** of employees at each site.

Check the appropriate financial descriptor (sales, revenues, or budgets). Provide the approximate ***percentage*** of sales, revenues, or budgets accounted for by the output of each site. Use “Not Applicable” (N/A) for percentage of sales, when appropriate.

### 2. Key Business/Organization Factors

Provide the following information, limiting your answers to the space provided on the form.

*For the purposes of the 2004 Award Application, “key” means those organizations that constitute 5 percent or greater of the applicant’s competitors, customers/users, or suppliers.*

- A. List of key competitors
- B. List of key customers/users
- C. List of key suppliers
- D. Description of the applicant’s major markets (local, regional, national, and international)
- E. The name of the organization’s financial auditor



**Malcolm Baldrige National Quality Award**

**The following information is needed by the Malcolm Baldrige National Quality Award Program Office to avoid conflicts of interest when assigning Examiners to evaluate your application and by Examiners in performing their evaluations.**

**I. Site Listing and Descriptors**

Please refer to the instructions on page 16 of this booklet or the PDF version of the *Baldrige Award Application Forms* booklet at [www.baldrige.nist.gov/Award\\_Application.htm](http://www.baldrige.nist.gov/Award_Application.htm) to complete this Site Listing and Descriptors form. It is important that the totals for the number of employees, faculty, and/or staff; percentage of sales, revenues, or budgets; and sites on this form match the totals provided in response to questions 8a, 8b, and 8c on page 2 of the 2004 Eligibility Certification Form. For example, if you report 600 employees in response to question 8a, the total number of employees provided in the Site Listing and Descriptors form should be 600. Duplicate the Site Listing and Descriptors page if all sites cannot be listed on a single page.

| Address of Site(s) | Number<br>Employees,<br>Faculty,<br>and/or Staff | Percentage<br><input type="checkbox"/> Sales<br><input type="checkbox"/> Revenues<br><input type="checkbox"/> Budgets | For each site, describe the relevant<br>products, services, and/or technologies. |
|--------------------|--|---|--|
|                    |  |   |  |

Provide all the information for each site, except where multiple sites produce similar products or services. For multiple site cases, refer to “c” under item 8, Size and Location of Applicant, on page 2 of the Eligibility Certification Form. Also, see 2004 Eligibility Certification Form—Instructions on page 8 of this booklet or the PDF version of *Baldrige Award Application Forms* at [www.baldrige.nist.gov/Award\\_Application.htm](http://www.baldrige.nist.gov/Award_Application.htm).

**Use as many additional copies of this form as needed to include all sites.**

**If you are unable to answer any question or answer any question “No,”  
please contact the Baldrige Program Office at (800) 898-4506 before submitting your form.**

**Malcolm Baldrige National Quality Award****2. Key Business/Organization Factors**

List, briefly describe, or identify the following key organization factors. Be as specific as possible to help us avoid real or perceived conflicts of interest when assigning Examiners to evaluate your application. “Key” means those organizations that constitute 5 percent or greater of the applicant’s competitors, customers/users, or suppliers.

A. List of key competitors

B. List of key customers/users

C. List of key suppliers

D. Description of the applicant’s major markets (local, regional, national, and international)

E. The name of the organization’s financial auditor

**If you are unable to answer any question or answer any question “No,”  
please contact the Baldrige Program Office at (800) 898-4506 before submitting your form.**

**Malcolm Baldrige National Quality Award****1. Eligibility Certification Form**

- a. Have all questions been answered completely?

☐ Yes ☐ No

- b. Is a line and box organization chart(s) included that shows all components of the applicant organization and the name of the head of each unit or division?

☐ Yes ☐ No

- c. If the applicant is a subunit of a larger organization, is a line and box organization chart(s) included that shows the relationship of the applicant to the highest management level of the parent, including all intervening levels?

☐ Yes ☐ No ☐ N/A

- d. If the applicant is a subunit of a larger organization, is a copy of appropriate pages from organization literature enclosed showing clear definition of the applicant as a discrete entity?

☐ Yes ☐ No ☐ N/A

- e. Is the Eligibility Certification Form signed by the highest-ranking official?

☐ Yes ☐ No

**2. Additional Information Needed Form**

Have all questions been answered completely?

☐ Yes ☐ No

**3. Fee**

Is a check or money order made payable to the **Malcolm Baldrige National Quality Award** (or credit card information) included for the \$150 nonrefundable eligibility certification filing fee?

☐ Yes ☐ No

**4. Date of Submission**

Is the Eligibility Certification Package being submitted on or before March 12, 2004?

☐ Yes ☐ No

If "Yes" has been checked, is your organization nominating a senior representative to serve on the 2004 Board of Examiners? The opportunity to learn and the required commitment of time are substantial. The time commitment is a minimum of 110 hours between April and December (including approximately 40 hours in April/May to complete prework for the Examiner preparation course, 4 days in May to attend the Examiner preparation course, and another 35–50 hours in June to complete a Stage 1: Independent Review). If requested by the Baldrige Program, Examiners also are expected to participate in the Stage 2: Consensus Review (approximately 25 hours) and Stage 3: Site Visit Review (approximately 9 days).

☐ Yes ☐ No

## 5. Send the completed Eligibility Certification Package to

**Malcolm Baldrige National Quality Award**

c/o ASQ

600 North Plankinton Avenue

Milwaukee, WI 53203

(414) 298-8789, extension 7205

*The 2004 Eligibility Certification Package must be postmarked on or before April 13, 2004, to be considered for the 2004 Award. If a question arises about the deadline having been met, a dated receipt from the postal or overnight carrier will be required. Applicants are encouraged to submit the form well ahead of the deadline to avoid delays.*

# North American Industry Classification System (NAICS) Codes

Please insert NAICS codes most relevant to your organization's products and/or services on the first page of the Eligibility Certification Form. If you wish to access the NAICS codes on-line, connect to [www.census.gov](http://www.census.gov), select "Subjects A to Z," select "N," select "North American Industry Classification System (NAICS)."

| Code | Sector   | Code | Sector  | Code | Sector  |
|------|--|------|---|------|---|
| 111  | Crop Production  | 444  | Building Material and Garden Equipment and Supplies Dealers                             | 611  | Educational Services  |
| 112  | Animal Production  | 445  | Food and Beverage Stores  | 6111 | Elementary and Secondary Schools  |
| 113  | Forestry and Logging   | 446  | Health and Personal Care Stores   | 6112 | Junior Colleges   |
| 115  | Support Activities for Agriculture and Forestry              | 447  | Gasoline Stations   | 6113 | Colleges, Universities, and Professional Schools                              |
| 211  | Oil and Gas Extraction                                       | 448  | Clothing and Clothing Accessories Stores  | 6114 | Business Schools and Computer and Management Training                         |
| 212  | Mining (except Oil and Gas)                                  | 451  | Sporting Goods, Hobby, Book, and Music Stores   | 6115 | Technical and Trade Schools   |
| 213  | Support Activities for Mining                                | 452  | General Merchandise Stores  | 6116 | Other Schools and Instruction   |
| 221  | Utilities  | 453  | Miscellaneous Store Retailers   | 6117 | Educational Support Services  |
| 236  | Construction of Buildings                                    | 454  | Nonstore Retailers  | 621  | Ambulatory Health Care Services   |
| 237  | Heavy and Civil Engineering Construction                     | 481  | Air Transportation  | 6211 | Offices of Physicians   |
| 238  | Specialty Trade Contractors                                  | 482  | Rail Transportation   | 6212 | Offices of Dentists   |
| 311  | Food Manufacturing   | 483  | Water Transportation  | 6213 | Offices of Other Health Practitioners   |
| 312  | Beverage and Tobacco Product Manufacturing                   | 484  | Truck Transportation  | 6214 | Outpatient Care Centers   |
| 313  | Textile Mills  | 485  | Transit and Ground Passenger Transportation   | 6215 | Medical and Diagnostic Laboratories   |
| 315  | Apparel Manufacturing  | 486  | Pipeline Transportation   | 6216 | Home Health Care Services   |
| 316  | Leather and Allied Product Manufacturing                     | 487  | Scenic and Sightseeing Transportation   | 6219 | Other Ambulatory Health Care Services   |
| 321  | Wood Product Manufacturing                                   | 488  | Support Activities for Transportation   | 622  | Hospitals   |
| 322  | Paper Manufacturing  | 491  | Postal Service  | 623  | Nursing and Residential Care Facilities                                       |
| 323  | Printing and Related Support Activities                      | 492  | Couriers and Messengers   | 711  | Performing Arts, Spectator Sports, and Related Industries                     |
| 324  | Petroleum and Coal Products Manufacturing                    | 493  | Warehousing and Storage   | 712  | Museums, Historical Sites, and Similar Institutions                           |
| 325  | Chemical Manufacturing                                       | 511  | Publishing Industries (except Internet)   | 713  | Amusement, Gambling, and Recreation Industries                                |
| 326  | Plastics and Rubber Products Manufacturing                   | 512  | Motion Picture and Sound Recording Industries   | 721  | Accommodation   |
| 327  | Nonmetallic Mineral Product Manufacturing                    | 515  | Broadcasting (except Internet)  | 722  | Food Services and Drinking Places   |
| 331  | Primary Metal Manufacturing                                  | 516  | Internet Publishing and Broadcasting  | 811  | Repair and Maintenance  |
| 332  | Fabricated Metal Product Manufacturing                       | 521  | Monetary Authorities—Central Bank   | 812  | Personal and Laundry Services   |
| 333  | Machinery Manufacturing                                      | 522  | Credit Intermediation and Related Activities  | 813  | Religious, Grantmaking, Civic, Professional, and Similar Organizations        |
| 334  | Computer and Electronic Product Manufacturing                | 523  | Securities, Commodity Contracts, and Other Financial Investments and Related Activities | 814  | Private Households  |
| 335  | Electrical Equipment, Appliance, and Component Manufacturing | 524  | Insurance Carriers and Related Activities   | 921  | Executive, Legislative, and Other General Government Support                  |
| 336  | Transportation Equipment Manufacturing                       | 525  | Funds, Trusts, and Other Financial Vehicles   | 922  | Justice, Public Order, Safety Activities                                      |
| 337  | Furniture and Related Product Manufacturing                  | 531  | Real Estate   | 923  | Administration of Human Resource Programs                                     |
| 339  | Miscellaneous Manufacturing                                  | 532  | Rental and Leasing Services   | 924  | Administration of Environmental Quality Programs                              |
| 423  | Merchant Wholesalers, Durable Goods                          | 533  | Lessors of Nonfinancial Intangible Assets (except Copyrighted Works)                    | 925  | Administration of Housing Programs, Urban Planning, and Community Development |
| 424  | Merchant Wholesalers, Nondurable Goods                       | 541  | Professional, Scientific, and Technical Services  | 926  | Administration of Economic Programs   |
| 425  | Wholesale Electronic Markets and Agents and Brokers          | 551  | Management of Companies and Enterprises   | 927  | Space Research and Technology   |
| 441  | Motor Vehicle and Parts Dealers                              | 561  | Administrative and Support Services   | 928  | National Security and International Affairs                                   |
| 442  | Furniture and Home Furnishings Stores                        | 562  | Waste Management and Remediation Services   | 999  | Unclassified Establishments   |
| 443  | Electronics and Appliance Stores                             |      |   |      |   |

# 2004 Award Application Package—Instructions

Instructions for responding to the Criteria and writing the Organizational Profile are included in each of the three Criteria booklets. Use the Criteria appropriate for your eligibility category (Business, Education, or Health Care).

## I. Purpose

The purpose of this section is to provide eligible applicants with instructions for preparing the Award Application Package. These instructions describe content, format, assembly, and submission requirements.

## II. Objective

The objective of the Award Application Package is for the applicant to provide sufficient information to enable the Board of Examiners to conduct a rigorous evaluation. Information is required on the applicant's performance management system and on the results of its processes. All information provided is considered confidential.

## III. Content Requirements

### A. Application Report—All Applicants

Only an application report (without supplemental sections) is required if an applicant has a single performance system that supports all of its product and/or service lines and if the products or services are essentially similar in terms of customers, technology, types of employees, planning, and quality systems. **(This is the case with most applicants.)** All units/subunits of the applicant must be included in the application report.

An application report must contain the following in the order listed:

- front cover—blank (no text, pictures, or figures) to help ensure confidentiality
- title page
- each of the following sections separated by a labeled tab or a divider page. Please divide and label the sections accordingly.
  - Table of Contents
  - 2004 Eligibility Certification Form and Additional Information Needed Form
  - organization chart(s)
  - 2004 Application Form (page 1 only)
  - Glossary of Terms and Abbreviations
  - Organizational Profile (five pages or less)
  - Responses Addressing All Criteria Items (50 pages or less)
  - Summary of Supplemental Sections, if applicable (two pages or less—see information under “III. B. Supplemental Sections”)
- back cover—blank

### B. Supplemental Sections

In order to maintain an equivalent level of detail for all sizes and types of applicants, certain applicants may need to provide supplemental sections. Supplemental sections are intended to permit applicants with highly complex organizations and performance systems to describe them in sufficient detail to permit a rigorous examination. Supplemental sections may be required if the applicant has two or more diverse product and/or service lines (i.e., in different NAICS codes) with customers, technology, types of employees, planning, and quality systems that are so different that the application report alone will not allow sufficient detail for a fair examination.

The use of supplemental sections must be approved during the eligibility certification process. Once supplemental sections are approved, they **must** be submitted by the applicant. If both an application report and supplemental section(s) are submitted, the application report should cover the largest aggregation of similar product and/or service lines that are supported by a single performance system. Together, the application report and the supplemental section(s) must cover all products and/or services and all performance systems of the applicant. Each supplemental section must contain the following in the order listed:

- front cover—blank (no text, pictures, or figures)
- title page
- labeled tabs or divider pages (see III.A)
- Table of Contents
- organization chart(s)
- Summary of Supplemental Sections (two pages or less)
- Glossary of Terms and Abbreviations
- Organizational Profile (five pages or less)
- Responses Addressing All Criteria Items (35 pages or less)
- back cover—blank

## IV. Application Report Components

Organizations may submit either 25 paper copies of the application report or a CD of the application report in PDF printable format. The content and format requirements of the application report, whether submitted on 25 paper copies or in CD/PDF format, are identical.

*Note: If 25 paper copies are submitted, the package must be postmarked no later than May 27, 2004. If a CD is submitted, the package must be postmarked on or before May 13, 2004.*



The application report must contain the following in the order listed.

**A. Front Cover**—blank (no text, pictures, or figures).

**B. Title Page** with the name of the applicant.

Applicants also have the option to include their address, pictures, and logo; the date; a statement indicating that this is an application for the 2004 Malcolm Baldrige National Quality Award; and/or a statement regarding confidentiality of content. No further information or text about the applicant may be included on this page.

**C. Labeled Tabs or Divider Pages** separating the sections of the report and containing only the title of the section. No further information or text about the applicant may be included on the tabs or divider pages, or they will count toward the 50-page limit. The following tabs/divider pages must be included: Table of Contents, 2004 Eligibility Certification Form and Additional Information Needed Form, organization chart(s), 2004 Application Form, Glossary of Terms and Abbreviations, Organizational Profile, and Responses Addressing All Criteria Items.

**D. Table of Contents** indicating the page numbers of the following: the 2004 Eligibility Certification Form and Additional Information Needed Form, the organization chart(s), the 2004 Application Form, the Glossary of Terms and Abbreviations, the Organizational Profile, and each Category and Item. Pagination for Areas to Address, tables, and figures does not need to be included in the Table of Contents.

**E. 2004 Eligibility Forms**

- **2004 Eligibility Certification Form.** This is the signed/stamped form returned to the applicant by ASQ.

- **2004 Additional Information Needed Form.** This is the signed/stamped form returned to the applicant by ASQ.

*Note: If using a CD/PDF format, see the instructions under “2. Application Report” on page 29.*

**F. Line and Box Organization Chart(s)**

- **applicant organization chart(s)** with sufficient detail for Examiners to understand the relationships among the applicant’s subunits. This is the signed/stamped form returned to the applicant by ASQ.

- **(for subunit applicants, only) subunit organization chart(s),** a line and box organization chart(s) of the parent/holding company showing where the applicant fits into the overall organization. This should be the signed/stamped form returned to the applicant by ASQ.

**G. 2004 Application Form** signed by the highest-ranking official, indicating that the applicant agrees to the terms and conditions of the Award process

and, if chosen, agrees to host a site visit; facilitate an open and unbiased examination; pay reasonable costs associated with the site visit; and, if selected as an Award recipient, share information on successful performance excellence strategies with other U.S. organizations. (See page 27.)

**H. Glossary of Terms and Abbreviations** used in the application report and each supplemental section.

**I. Organizational Profile** outlining the applicant’s organization and addressing what is most important to the organization, as well as the key factors that influence how the organization operates and its future directions. A vital part of the overall application, the Organizational Profile is used by the Examiners in all stages of the application review.

**J. Responses Addressing All Criteria Items**

- Respond to each Item as a whole. Responses to the Areas to Address should emphasize the applicant’s organization and performance system. To facilitate review by the Board of Examiners, respond to the Areas in the order given in the Items. Describe activities in foreign sites in the appropriate Items.

- If an Area to Address does not pertain to the applicant’s organization or performance system, provide a statement of one or two sentences explaining why the Area is not applicable. The Item/Area designator should be used as described under format requirements.

**K.** If applicable, provide a **Summary of Supplemental Section(s)**—a brief description of each supplemental section, including the products, services, and NAICS codes. (See page 22, III.B.)

**L. Back Cover**—blank.

## V. Format Requirements

Application reports and any supplemental sections must meet the page limit, typing, and format requirements indicated below, whether submitted in paper or CD/PDF format.

**A. Page Limits and Exclusions**

1. The Organizational Profile for the application report and for each supplemental section is limited to the equivalent of five single-sided pages. If the Organizational Profile exceeds the five-page limit, the excess pages will be counted as part of the page count for the Responses Addressing All Criteria Items. Guidelines for preparing the Organizational Profile can be found in each of the Criteria booklets.

2. In the application report, the Responses Addressing All Criteria Items are limited to the equivalent of 50 single-sided pages, which must



include all pictures, graphs, figures, tables, and appendices. The responses must contain the same Category and Item numerical designations as the 2004 Criteria. Applicants should denote the Areas to Address with letters a, b, c, and so forth, corresponding to each Area, such as 4.2a.

3. In supplemental sections, the Responses Addressing All Criteria Items are limited to 35 single-sided pages.
4. The covers and divider pages/tab separators, which should contain only the title of the specified subject (i.e., Table of Contents, 2004 Eligibility Certification Form and Additional Information Needed Form, organization chart(s), 2004 Application Form, Glossary of Terms and Abbreviations, Organizational Profile, Responses Addressing All Criteria Items), will not be counted as part of the page limit in either the application report or supplemental section(s). However, if these pages contain any additional material, such as text, quotations, graphs, figures, data tables, or pictures, they will be considered part of the 50 pages of the Responses Addressing All Criteria Items.
5. If the Responses Addressing All Criteria Items exceed the 50-page limit, the applicant's Official Contact Point will be asked to identify which pages will be removed.
6. The Summary of Supplemental Sections, if applicable, is limited to the equivalent of two single-sided pages. If the summary exceeds the two-page limit, the excess will be counted as part of the page count for the Responses Addressing All Criteria Items.

**B. Paper size:** standard 8 1/2 x 11 inches

**C. Typing—for an example, see**  
[www.baldrige.nist.gov/GeoOrb.htm](http://www.baldrige.nist.gov/GeoOrb.htm).

1. Font Size
  - fixed pitch font of 12 or fewer characters per inch  
OR
  - proportional spacing font of point size 10 or larger

*A typical document produced in Times New Roman 10 point font will satisfy this requirement.*
2. Line Spacing: Equivalent of two points of lead between lines. *Note: One point of lead equals 1/72, or 0.0138 inch.*
3. Font Style: Any font style may be used that meets the font size and line spacing requirements, but Helvetica and Times New Roman or equivalent styles are preferred.

4. Type used in picture captions, graphs, figures, data tables, and appendices also must meet the requirements for font size and line spacing. If the table or graph is reduced from its original size for inclusion, applicants must use larger type sizes in preparing the original so that the reduced material in the application report meets the font size requirements.

Font style and/or size need not be uniform throughout the application report so long as all styles and sizes meet the requirements.

**D. Format—for an example, see**  
[www.baldrige.nist.gov/GeoOrb.htm](http://www.baldrige.nist.gov/GeoOrb.htm).

1. The number of lines per page must not exceed 60, including the page headings. A blank line separating paragraphs is counted as a line.
2. Margins of at least 3/4 inch on the side of the page that is bound or fastened and at least 1/2 inch on the opposite side of the page are preferred.
3. Pages set up in a two-column format are preferred. Pages may be printed on both sides. (The total number of pages is limited to the equivalent of 50 single-sided pages for the Responses Addressing All Criteria Items and five single-sided pages for the Organizational Profile.)
4. Text pages should have portrait orientation. Graphs, figures, and data tables may have either portrait or landscape orientation.

#### **E. Numbering**

The pages of the Responses Addressing All Criteria Items must be numbered consecutively from start to finish, e.g., 1, . . . , 50. Blank pages and tabs/divider pages should not be numbered. All figures should be numbered in sequence within each Item and Category, such as Figure P.1-1 or Figure 2.1-1.

## **VI. Assembly Requirements**

- A. For paper copies, all components of the application report and supplemental section(s) **must be securely fastened to prevent separation during handling**. The use of clips or binders with easily opened pressure-sensitive clips is discouraged. Supplemental section(s) must be bound separately from the application report. If the application report is submitted in CD/PDF format, it will be printed in color and bound with a comb binding.
- B. The use of bulky binders or similar heavy covers is discouraged.
- C. Video and audio tapes or other information aids are not acceptable and may not be included.

## VII. Submission Requirements

### A. Applicants must submit a 2004 Award Application Package containing

- (1) either 25 individually bound paper copies of the complete application report (and, if appropriate, 25 individually bound copies of every supplemental section) or a CD containing the complete application report (and any supplemental sections) in PDF printable format

*Note: Only one paper copy of page 2 of the Application Form should be submitted with your Application Package, or you may provide the information on page 2 to ASQ by calling (414) 298-8789, extension 7205.*

- (2) a check or money order covering the application fees for the application report and, if appropriate, every supplemental section. ***An additional processing fee of \$1,250 is required if you are submitting the application report on a CD.*** Fees are discussed in the Application Form Instructions on page 26 of this booklet. The check or money order should be made payable to the **Malcolm Baldrige National Quality Award**.

*Note: Payment also may be made by credit card. Indicate the method of payment on the 2004 Application Form.*

### B. The 2004 Award Application Package must be postmarked or consigned to an overnight delivery service no later than May 27, 2004 (May 13, 2004, if on CD) to be eligible for a 2004 Award. If a question arises about the deadline having been met, the applicant will be asked to supply a dated receipt from the postal or overnight carrier. The Baldrige National Quality Program reserves the right to return incomplete submissions or submissions that do not meet the requirements given in the sections entitled "Content Requirements" and "Format Requirements" along with the application fee.

Send the complete 2004 Award Application Package to

**Malcolm Baldrige National Quality Award**  
c/o ASQ—Baldrige Award Administration  
600 North Plankinton Avenue  
Milwaukee, WI 53203  
(414) 298-8789, extension 7205

## Requirements for CD Submission

The requirements for submitting an application on a CD are provided below.

**Applications submitted on a CD must be postmarked on or before May 13, 2004.**

1. The application report must be a single, complete PDF file, not separate PDF files on the CD.
2. You must use a CD-R CD, not a CD-RW.
3. When preparing the CD, please organize the disc so that it can be read in most standard CD-ROM drives under the various Windows operating systems (e.g., Windows 98, NT, 2000, XP).
4. Select the "embed fonts" option.
5. Proof your PDF file to ensure that it does not reflow onto extra pages and that all information/charts/graphs, etc., are appropriately retained.
6. Verify the content and number of pages and that it prints properly (as the image on the screen is sometimes not what appears in print).
7. Documents will be printed on a laser-type copier/printer at 600 x 600 resolution.
8. An additional processing fee of \$1,250 is required if submitting the application report on a CD.

# 2004 Application Form—Instructions

## Instructions

Provide all information requested. A copy of page 1 of the 2004 Application Form must be included in each of the 25 paper copies of the application report (or on CD), as described on page 25. One paper copy of page 2 of the Application Form must be submitted with your Application Package, or you may provide the information on page 2 to ASQ by calling (414) 298-8789, extension 7205.

### 1. Applicant

Provide the official name and mailing address of the organization applying for the Award.

### 2. Award Category

From the 2004 Eligibility Certification Form, indicate the eligibility category under which the applicant was certified and which Criteria are being used.

### 3. Official Contact Point

As the examination proceeds, the applicant may need to be contacted for additional information or for arrangements for a site visit. Further communications between the applicant and the Baldrige National Quality Program will be limited to this Official Contact Point or the Alternate Official Contact Point (see 4, below). The designated Official Contact Point should have both in-depth knowledge of the organization and a good understanding of the organization's application. Designate a person with authority who will be available to provide additional information, answer inquiries, or arrange a site visit.

If the Official Contact Point changes during the course of the application process, please inform the Baldrige National Quality Program.

### 4. Alternate Official Contact Point

In the event that the Official Contact Point is not available, the Alternate Official Contact Point will be contacted to answer questions or to convey a message to the Official Contact Point. Please designate a person who is available during regular business hours.

### 5. Release and Ethics Statements

**a. Release Statement.** Please read this section carefully.

**b. Ethics Statement and Signature of the Highest-Ranking Official.** The applicant's highest-ranking official must sign in the space provided, indicating that the applicant agrees to the terms and conditions stated in the Release Statement. In addition, the highest-ranking official's signature attests that no untrue statement of a material fact is contained in the Application Package and no omission of a material fact that is legally discloseable and affects organizational ethical and legal practices has been made.

Type the person's name, title, address, telephone number, and fax number below the signature, as indicated.

### 6. Confidential Information

**a. Social Security Number of the Highest-Ranking Official.** If your application is selected for Stage 3 review, this information will be used in the process for determining role model organizations.

**b. Application Fees.** Fee payment must be submitted with the application. The fees for the application report are

- \$5,000 for manufacturing and service businesses, for-profit education organizations, and for-profit and not-for-profit health care organizations with more than 500 employees;
- \$2,000 for small businesses, for-profit education organizations, and for-profit and not-for-profit health care organizations with 500 or fewer employees; and
- \$500 for not-for-profit education organizations.

*Note: If submitting by CD, add an additional \$1,250 processing fee.*

The fees for each supplemental section are

- \$2,000 for manufacturing and service businesses, for-profit education organizations, and for-profit and not-for-profit health care organizations with more than 500 employees;
- \$1,000 for small businesses, for-profit education organizations, and for-profit and not-for-profit health care organizations with 500 or fewer employees; and
- \$250 for not-for-profit education organizations.

Make the check or money order payable to

**Malcolm Baldrige National Quality Award.**

**You also may pay by VISA, MasterCard, or American Express. Indicate the method of payment, and provide the card number, expiration date, printed name and signature of the cardholder, and the date signed in the space provided on the 2004 Application Form.**

### 7. Submission

Complete Award Application Packages must be post-marked or consigned to an overnight delivery service no later than May 27, 2004 (May 13, 2004, if submitted on CD) for delivery to

**Malcolm Baldrige National Quality Award**  
c/o ASQ—Baldrige Award Administration  
600 North Plankinton Avenue  
Milwaukee, WI 53203  
(414) 298-8789, extension 7205

**Malcolm Baldrige National Quality Award**

Provide all information requested. A copy of page 1 of this 2004 Application Form must be included in each of the 25 paper copies of the application report (or, alternatively, in the PDF version on CD), as described on page 25.

**1. Applicant**

Applicant Name \_\_\_\_\_

Mailing Address \_\_\_\_\_

\_\_\_\_\_

**2. Award Category** *(Check one.)*

☐ Manufacturing ☐ Service ☐ Small Business  
☐ Education ☐ Health Care

**For small businesses, indicate whether the larger percentage of sales is in service or manufacturing.**  
*(Check one.)*

☐ Manufacturing ☐ Service

**Criteria being used** *(Check one.)*

☐ Business ☐ Education ☐ Health Care

**3. Official Contact Point**

☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Name \_\_\_\_\_

Title \_\_\_\_\_

Mailing Address \_\_\_\_\_

Overnight Mailing Address  
 (Do not use P.O. Box number.) \_\_\_\_\_

Telephone No. \_\_\_\_\_

Fax No. \_\_\_\_\_

**4. Alternate Official Contact Point**

☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Name \_\_\_\_\_

Telephone No. \_\_\_\_\_

Fax No. \_\_\_\_\_

**5. Release and Ethics Statements****a. Release Statement**

We understand that this application will be reviewed by members of the Board of Examiners.

Should our organization be selected for a site visit, we agree to host the site visit and to facilitate an open and unbiased examination. We understand that our organization must pay reasonable costs associated with a site visit. The site visit fees range from \$1,500–\$35,000 depending on the type of applicant. (The fees are shown on page 4.)

If our organization is selected to receive an Award, we agree to share nonproprietary information on our successful performance excellence strategies with other U.S. organizations.

**b. Ethics Statement and Signature of the Highest-Ranking Official**

I state and attest that

(1) I have reviewed the information provided by my organization in this Application Package.

(2) To the best of my knowledge,

- no untrue statement of a material fact is contained in this Application Package, and
- no omission of a material fact that I am legally permitted to disclose and that affects my organization's ethical and legal practices has been made. This includes but is not limited to sanctions and ethical breaches.

Date \_\_\_\_\_

Signature \_\_\_\_\_

☐ Mr. ☐ Mrs. ☐ Ms. ☐ Dr.

Printed Name \_\_\_\_\_

Title \_\_\_\_\_

Mailing Address \_\_\_\_\_

\_\_\_\_\_

Telephone No. \_\_\_\_\_

Fax No. \_\_\_\_\_

## Malcolm Baldrige National Quality Award

## 6. Confidential Information

**Please note:** To help ensure the confidentiality of the information requested, submission requirements for this page (page 2) of your Application Form differ from those for page 1 of the form and for the application report. Whether you submit 25 paper copies or a CD of your application report, one completed **paper** copy of page 2 may be submitted with your Award Application Package, or the information may be telephoned to ASQ at (414) 298-8789, extension 7205. *Do not include this page in the 25 copies of your application report.*

**a. Social Security Number of the Highest-Ranking Official**

If your application is selected for Stage 3 review, this information will be used in the process for determining role model organizations (see page 3–4).

Name \_\_\_\_\_

Social Security Number \_\_\_\_\_

**b. Application Fees (see page 26 for instructions)**

Enclosed is \$\_\_\_\_\_ to cover one application report and \_\_\_\_\_ supplemental sections.

*Note: An additional \$1,250 is required if you are submitting the application report on CD.*

Make check or money order payable to

**Malcolm Baldrige National Quality Award.**

**You also may pay by VISA, MasterCard, or American Express. Please indicate your method of payment below:**

☐ Check or money order (enclosed)

☐ VISA    ☐ MasterCard    ☐ American Express

Card Number \_\_\_\_\_

Expiration Date \_\_\_\_\_

Printed Name \_\_\_\_\_

Signature \_\_\_\_\_

Today's Date \_\_\_\_\_

## 7. Submission

Complete Award Application Packages must be postmarked or consigned to an overnight delivery service no later than May 27, 2004 (May 13, 2004, if submitting on CD) for delivery to

**Malcolm Baldrige National Quality Award**

c/o ASQ—Baldrige Award Administration

600 North Plankinton Avenue

Milwaukee, WI 53203

(414) 298-8789, extension 7205

OMB Clearance #0693-0006  
Expiration Date: January 31, 2007



# 2004 Award Application Package Checklist

## Malcolm Baldrige National Quality Award

### 1. Award Application Package

Does the Application Package include 25 individually bound paper copies of your application report and, if appropriate, 25 individually bound copies of every supplemental section?

☐ Yes ☐ No

Alternatively, does the Application Package include a CD containing the PDF version of the application report in printable format? (See page 25 for requirements for CD submission.)

☐ Yes ☐ No

### 2. Application Report

Does each of the 25 application reports (or the CD/PDF version) contain a

blank front cover ☐ Yes ☐ No

title page ☐ Yes ☐ No

Table of Contents ☐ Yes ☐ No

2004 Eligibility Certification Form and Additional Information Needed Form (date-stamped copies from ASQ)\* ☐ Yes ☐ No

organization chart(s) (date-stamped copy from ASQ)\* ☐ Yes ☐ No

2004 Application Form (page 1 only)\*\* ☐ Yes ☐ No

Glossary of Terms and Abbreviations ☐ Yes ☐ No

Organizational Profile (five pages or less) ☐ Yes ☐ No

Responses Addressing All Criteria Items (50 pages or less) ☐ Yes ☐ No

Summary of Supplemental Sections, if applicable (two pages or less—see information on page 22 under “III.B Supplemental Sections”) ☐ Yes ☐ No

blank back cover ☐ Yes ☐ No

*\* If the application report is on a CD, either scan in the date-stamped forms and chart(s) OR include on the CD an electronic version that is not date-stamped and provide one paper copy of the date-stamped documents.*

*\*\*One copy of page 2 of the Application Form must be submitted with your Application Package, or you may provide the information on page 2 to ASQ by calling (414) 298-8789, extension 7205.*

### 3. Page 2 of the Application Form

Include one paper copy of page 2 of the Application Form (if the information on the form is not telephoned to ASQ).

### 4. Fee

Have you included a check or money order made payable to the **Malcolm Baldrige National Quality Award** (or credit card information) for the non-refundable application fee and, if appropriate, every supplemental section? (For fee information, see page 26 of this booklet.)

☐ Yes ☐ No

If submitting the application report on CD, have you included the \$1,250 processing fee in your check or money order (or credit card information)?

☐ Yes ☐ No

### 5. Date of Submission

Is the Application Package being postmarked or consigned to an overnight delivery service no later than May 27, 2004 (May 13, 2004, if submitting on CD)?

☐ Yes ☐ No

### 6. Send the completed Award Application Package to

**Malcolm Baldrige National Quality Award**  
c/o ASQ  
600 North Plankinton Avenue  
Milwaukee, WI 53203  
(414) 298-8789, extension 7205

**The 2004 Award Application Package must be postmarked or consigned to an overnight delivery service on or before May 27, 2004 (or May 13, 2004, if submitted on a CD) to be considered for the 2004 Award. If a question arises about the deadline having been met, a dated receipt from the postal or overnight carrier will be required. Applicants are encouraged to submit the Award Application Package well ahead of the deadline to avoid delays.**

# How to Obtain Copies of Baldrige Program Materials

## Individual Orders

Individual copies of the Criteria booklets and the *Baldrige Award Application Forms* booklet may be downloaded from our Web site or obtained free of charge from

Baldrige National Quality Program  
National Institute of Standards and Technology  
Administration Building, Room A600  
100 Bureau Drive, Stop 1020  
Gaithersburg, MD 20899-1020  
Telephone: (301) 975-2036  
Fax: (301) 948-3716  
E-mail: [nqp@nist.gov](mailto:nqp@nist.gov)  
Web site: [www.baldrige.nist.gov](http://www.baldrige.nist.gov)

## Bulk Orders

Multiple copies of the *2004 Criteria for Performance Excellence* booklets may be ordered in packets of 10 for \$39.95 plus shipping and handling from the American Society for Quality (ASQ).

2004 Business Criteria—Item Number T1391  
2004 Education Criteria—Item Number T1392  
2004 Health Care Criteria—Item Number T1393

## How to Order

ASQ offers four convenient ways to order:

1. For fastest service, call toll free (800) 248-1946 in the United States and Canada (in Mexico, dial toll free 95-800-248-1946). Have item numbers, your credit card or purchase order number, and (if applicable) ASQ member number ready.
2. Or fax your completed order form to ASQ at (414) 272-1734.
3. Or mail your order to ASQ Customer Care Center, P.O. Box 3066, Milwaukee, WI 53201-3066.
4. Or order on-line by accessing ASQ's Web site at [www.asq.org](http://www.asq.org).

## Payment

Your payment options include check, money order, U.S. purchase order, VISA, MasterCard, or American Express. Payment must be made in U.S. currency; checks and money orders must be drawn on a U.S. financial institution. All international orders must be prepaid. Please make checks payable to ASQ.

## Shipping Fees

The following shipping and processing schedule applies to all orders within the United States and Canada.

| Order Amount    | U.S. Charges | Canadian Charges |
|-----------------|--------------|------------------|
| Up to \$34.99   | \$ 4.25      | \$ 9.25          |
| \$35.00–\$99.99 | 6.50         | 11.50            |
| Over \$100.00   | 12.50*       | 17.50*           |

- There is a shipping and processing charge of 25 percent of the total order amount for shipments outside the United States and Canada.
- Orders shipped within the continental United States and Canada where UPS service is available will be shipped UPS.
- Please allow one to two weeks for delivery. International customers, please allow six to eight weeks for delivery.
- Your credit card will not be charged until your items are shipped. Shipping and processing are charged one time, up front, for the entire order.

*\*If actual shipping charges exceed \$12.50 (\$17.50 Canadian), ASQ will invoice the customer for the additional expense.*

## Baldrige Educational Materials

Each year, the Baldrige National Quality Program develops materials for training members of the Board of Examiners and for sharing information on the successful performance excellence strategies of the Award recipients. The following items are samples of the educational materials that are available.

### Case Studies

The case studies, when used with the Criteria, are valuable resources to Award applicants and other users of the Criteria. They illustrate the Award application and review process and provide examples of how to respond to the Criteria requirements and format an application. They also furnish information on scoring, the examination processes, site visit procedures, and much more. The case study packet contains the case study and six additional documents: an executive summary, the related *Criteria for Performance Excellence* booklet, the case study scorebook, the case study feedback report, the *Handbook for the Board of Examiners*, and the *Scorebook for Business, Education, and Health Care*. A variety of case study packets are available. The 2002 and 2003 case study packets are available only on-line. Case study packets from prior years are available on-line and in hard copy. For ordering information, see the next page.



**2003 Business Case Study Packet: GeoOrb Polymers, North America** (based on the *2003 Criteria for Performance Excellence*)

Available only in e-format (PDF version) at  
[www.baldrige.nist.gov/GeoOrb.htm](http://www.baldrige.nist.gov/GeoOrb.htm)

**2002 Health Care Case Study Packet: Capstar Health System** (based on the *2002 Health Care Criteria for Performance Excellence*)

Available only in e-format (PDF version) at  
[www.baldrige.nist.gov/CapStar.htm](http://www.baldrige.nist.gov/CapStar.htm)

**2001 Business Case Study Packet: TriView National Bank** (based on the *2001 Criteria for Performance Excellence*)

Item Number T1091: \$49.95 plus shipping and handling  
Also available in e-format (PDF version) at  
[www.baldrige.nist.gov/TriView.htm](http://www.baldrige.nist.gov/TriView.htm)

**2000 Education Case Study Packet: Coyote Community College** (based on the *2000 Education Criteria for Performance Excellence*)

Item Number T1090: \$49.95 plus shipping and handling  
Also available in e-format (PDF version) at  
[www.baldrige.nist.gov/Coyote.htm](http://www.baldrige.nist.gov/Coyote.htm)

**Award Recipients Videos**

The Award recipients videos are a valuable resource for gaining a better understanding of performance excellence and quality achievement. The videos provide background information on the Baldrige National Quality Program, highlights from the annual Award ceremony, and interviews with representatives from the Award recipients' organizations. Information on the 2003 Award recipients video is provided below. Videos about Award recipients from other years also are available from ASQ.

2003—Item Number TA1126      \$20.00  
(Available May 2004)

**How to Order Educational Materials**

To order a case study packet (TriView National Bank, Coyote Community College, or others), bulk orders of the 2004 Criteria booklet, or the Award recipients videos, contact

ASQ Customer Care Center  
P.O. Box 3066  
Milwaukee, WI 53201-3066  
Telephone: (800) 248-1946  
Fax: (414) 272-1734  
E-mail: [asq@asq.org](mailto:asq@asq.org)  
Web site: [www.asq.org](http://www.asq.org)

## Notes

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## The Quest for Excellence® XVI Conference

Each year, The Quest for Excellence, the official conference of the Malcolm Baldrige National Quality Award, provides a forum for Baldrige Award recipients to share their exceptional performance practices with worldwide leaders in business, education, health care, and not-for-profit organizations. The Quest for Excellence XVI will showcase the year 2003 Award recipients.

For the last 15 years, executives, managers, and quality leaders have attended this conference to learn how these role model organizations have achieved performance excellence. Highest-ranking officials and other leaders from the Award recipient organizations give presentations covering all seven Categories of the Baldrige Criteria, their journey to performance excellence, and their lessons learned. At this three-day conference designed to maximize learning and networking opportunities, attendees will be able to interact with Award recipients.

The Quest for Excellence XVI Conference will be held March 28–31, 2004, at the Marriott Wardman Park Hotel in Washington, DC. For further information, contact

Baldrige National Quality Program  
National Institute of Standards and Technology (NIST)  
Administration Building, Room A600  
100 Bureau Drive, Stop 1020  
Gaithersburg, MD 20899-1020  
Telephone: (301) 975-2036  
Fax: (301) 948-3716  
E-mail: [nqp@nist.gov](mailto:nqp@nist.gov)

For a general overview of the Baldrige National Quality Program, visit its Web site: [www.baldrige.nist.gov](http://www.baldrige.nist.gov).

## Paperwork Reduction Act Statement

Notwithstanding any other provision of the law, no person is required to respond to, nor shall any person be subject to a penalty for failure to comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

The reason for collecting this information is to allow organizations to apply for the Malcolm Baldrige National Quality Award (Award). The information obtained will assist in determining the Award recipients. Responses to the collection of information are required to be considered for the Award. Confidentiality of the submitted information is covered under the Freedom of Information Act to the extent possible under the law.

The public reporting burden for this collection is estimated to average 100 hours for the initial response of the first-time applicant (this includes the time for reviewing instructions, searching existing data sources, gathering and maintaining the relevant data, and completing and reviewing the collection of information). As the organization reapplies for the Award in future years, it is possible that this burden will change, in either direction, based on the feedback the respondent gains from its first application.

Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to

Dr. Harry Hertz, Director  
Baldrige National Quality Program  
NIST  
Administration Building, Room A600  
100 Bureau Drive, Stop 1020  
Gaithersburg, MD 20899-1020

and to

Office of Information and Regulatory Affairs  
Office of Management and Budget  
Washington, DC 20503

**We are easy to reach. Our Web site is [www.baldrige.nist.gov](http://www.baldrige.nist.gov).**

## Baldrige National Quality Program

**Baldrige National Quality Program**  
**National Institute of Standards and Technology**  
**Technology Administration**  
**United States Department of Commerce**  
Administration Building, Room A600  
100 Bureau Drive, Stop 1020  
Gaithersburg, MD 20899-1020

The National Institute of Standards and Technology is a nonregulatory federal agency within the Commerce Department's Technology Administration. NIST's primary mission is to develop and promote measurement, standards, and technology to enhance productivity, facilitate trade, and improve the quality of life. The Baldrige National Quality Program (BNQP) at NIST is a customer-focused federal change agent that enhances the competitiveness, quality, and productivity of U.S. organizations for the benefit of all citizens. BNQP develops and disseminates evaluation criteria and manages the Malcolm Baldrige National Quality Award. It also provides global leadership in promoting performance excellence and in the learning and sharing of successful performance practices, principles, and strategies.

Call BNQP or visit our Web site for

- information on improving the performance of your organization
- information on eligibility requirements for the Baldrige Award
- information on applying for the Baldrige Award
- information on becoming a Baldrige Examiner
- information on the Baldrige Award recipients
- individual copies of the Criteria for Performance Excellence—Business, Education, and Health Care (no cost)
- information on BNQP educational materials
- case studies

Telephone: (301) 975-2036; Fax: (301) 948-3716; E-mail: [nqp@nist.gov](mailto:nqp@nist.gov)  
Web site: [www.baldrige.nist.gov](http://www.baldrige.nist.gov)

**American Society for Quality**  
600 North Plankinton Avenue  
Milwaukee, WI 53203

By making quality a global priority, an organizational imperative, and a personal ethic, the American Society for Quality becomes the community for everyone who seeks quality technology, concepts, or tools to improve themselves and their world. ASQ administers the Malcolm Baldrige National Quality Award under contract to NIST.

Call ASQ to order

- bulk copies of the Criteria
- Award recipients videos

Telephone: (800) 248-1946; Fax: (414) 272-1734; E-mail: [asq@asq.org](mailto:asq@asq.org)  
Web site: [www.asq.org](http://www.asq.org)

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